


01/11/01

J-923 U.S. PTO

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# UTILITY PATENT APPLICATION TRANSMITTAL

Attorney Docket No. Duke File No. 1838

First Inventor Jonathan S. Stamler

Title INHIBITING GS-FDH. . . .

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Express Mail Label No.

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 46]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the invention
  - Brief Summary of the invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☐ Drawing(s) (35 U.S.C. 113) [Total Sheets ☐
5. Oath or Declaration [Total Pages ☐]
  - a. ☒ Newly executed (original or copy)  
Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 17 completed)
  - b. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
6. ☒ Application Data Sheet. See 37 CFR 1.76

## ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement of Power of Attorney (when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Other: .....

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No. \_\_\_\_\_

Prior application information

Examiner

Group / Art Unit


For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 18. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

or ☒ Correspondence address below

Name ERIC S. SPECTOR  
JONES, TULLAR & COOPER, P.C.  
Address P.O. Box 2266 Eads Station  
City Arlington State VA Zip Code 22202  
Country USA Telephone 703-415-1500 Fax 703-415-1508

Name (Print/Type) ERIC S. SPECTOR Registration No. (Attorney/Agent) 22495  
Signature  Date 01/11/01

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231

PTO/SB/06 (08-01)

10/11/01

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**FEE TRANSMITTAL  
for FY 2001**

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ 395.00)

**Complete if Known**

Application Number	TBA
Filing Date	January 11, 2001
First Named Inventor	JONATHAN S. STAMLER
Examiner Name	
Group Art Unit	
Attorney Docket No.	Duke File No. 1838

**METHOD OF PAYMENT**

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:
- Deposit Account Number: 10-1213
- Deposit Account Name: JONES, TULLAR & COOPER
- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17
- ☒ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed: (Check #15560)
- ☒ Check ☐ Credit card ☐ Money Order ☐ Other

**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 710	201 355	Utility filing fee	355
106 320	208 160	Design filing fee	
107 490	207 245	Plant filing fee	
108 710	208 355	Reissue filing fee	
114 150	214 75	Provisional filing fee	
SUBTOTAL (1) (\$ 355)			

**2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
20	-20* = NONE	X	
3	-3** = NONE	X	
Multiple Dependent			

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 80	202 40	Independent claims in excess of 3
104 270	204 135	Multiple dependent claim, if not paid
109 80	209 40	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ NONE)

\*for number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for ex parte reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 390	216 195	Extension for reply within second month	
117 890	217 445	Extension for reply within third month	
118 1,390	218 695	Extension for reply within fourth month	
128 1,890	228 945	Extension for reply within fifth month	
119 310	219 155	Notice of Appeal	
120 310	220 155	Filing a brief in support of an appeal	
121 270	221 135	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,240	241 620	Petition to revive - unintentional	
142 1,240	242 620	Utility issue fee (or reissue)	
143 440	243 220	Design issue fee	
144 800	244 300	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Petitions related to provisional applications	
126 240	126 240	Submission of Information Disclosure Sheet	
581 40	581 40	Recording each patent assignment per property (times number of properties)	40
146 710	246 355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 710	249 355	For each additional invention to be examined (37 CFR § 1.129(b))	
179 710	279 355	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	
Other fee (specify)			
SUBTOTAL (3) (\$ 40)			

\* Reduced by Basic Filing Fee Paid

**SUBMITTED BY**

Name (Print/Type) ERIC S. SPECTOR

Registration No. (Attorney/Agent)

22495

**Complete if applicable**

Telephone 703-415-1500

Signature

*Eric S. Spector*

Date 01/11/01

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2033.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Practitioner's Docket No. Duke File No. 1838**PATENT****IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re prior application of:

Application No.: 0 / TBA Group No.:

Filed: January 11, 2001 Examiner:

For: INHIBITING GS-FDH  
TO MODULATE NO BIOACTIVITYAssistant Commissioner for Patents  
Washington, D.C. 20231**APPLICATION DATA SHEET**  
**37 C.F.R. § 1.76**

NOTE: 37 C.F.R. § 1.76(a): "Application data sheet. An application data sheet is a sheet or sheets, that may be voluntarily submitted in either provisional or nonprovisional applications, which contains bibliographic data, arranged in a format specified by the Office. If an application data sheet is provided, the application data sheet is part of the provisional or nonprovisional application for which it has been submitted."

**BIBLIOGRAPHIC DATA****1. Applicant information**

NOTE: 37 C.F.R. § 1.76(b)(1): "(1) Applicant information. This information includes the name, residence, mailing address, and citizenship of each applicant (§ 1.41(b)). The name of each applicant must include the family name, and at least one given name without abbreviation together with any other given name or initial. If the applicant is not an inventor, this information also includes the applicant's authority (§§ 1.42, 1.43, and 1.47) to apply for the patent on behalf of the inventor."

**CERTIFICATION UNDER 37 C.F.R. §§ 1.8(a) and 1.10**

(When using Express Mail, the Express Mail label number is **mandatory**;  
Express Mail certification is optional.)

I hereby certify that, on the date shown below, this correspondence is being:

**MAILING**

- ☐ deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner for Patents and Trademarks, Washington, D C 20231

**37 C.F.R. § 1.8(a)****37 C.F.R. § 1.10\***

- ☐ with sufficient postage as first class mail. ☐ as "Express Mail Post Office to Addressee"  
Mailing Label No. \_\_\_\_\_ (**mandatory**)

**TRANSMISSION**

- ☐ facsimile transmitted to the Patent and Trademark Office, (703) \_\_\_\_\_

Signature \_\_\_\_\_

Date: \_\_\_\_\_

(type or print name of person certifying)

First applicant:

Jonathan S. STAMLER  
GIVEN NAME MIDDLE INITIAL OR NAME FAMILY (OR LAST NAME)  
Citizenship USA  
Residence 3416 Juniper Place, Chapel Hill, NC 27514

Second applicant, (if any)

Limin LIU  
GIVEN NAME MIDDLE INITIAL OR NAME FAMILY (OR LAST NAME)  
Citizenship China  
Residence 720 S. LaSalle Street, Apt. M., Durham, NC 27705

Third applicant, (if any)

Alfred HAUSLADEN  
GIVEN NAME MIDDLE INITIAL OR NAME FAMILY (OR LAST NAME)  
Citizenship Germany  
Residence 3600 Tremont Drive, Apt. D5  
Durham, NC 27705

Fourth applicant, if any

Raphael NUDELMAN  
GIVEN NAME MIDDLE INITIAL OR NAME FAMILY (OR LAST NAME)  
Citizenship USA  
Residence 4407 Beechnut Lane, Durham, NC 27707

Fifth applicant, (if any)

\_\_\_\_\_  
GIVEN NAME MIDDLE INITIAL OR NAME FAMILY (OR LAST NAME)  
Citizenship \_\_\_\_\_  
Residence \_\_\_\_\_

Sixth applicant, (if any)

\_\_\_\_\_  
GIVEN NAME MIDDLE INITIAL OR NAME FAMILY (OR LAST NAME)  
Citizenship \_\_\_\_\_  
Residence \_\_\_\_\_

(Application Data Sheet [4-1.1]—page 2 of 6)

- ☐ Applicant is not the inventor and applicant's authority (§§ 1.42, 1.43 and 1.47) to apply for the patent on behalf of the inventor is as follows:

## 2. Correspondence information

NOTE: 37 C.F.R. § 1.76(b)(2): "[2] Correspondence information. This information includes the correspondence address, which may be indicated by reference to a customer number, to which correspondence is to be directed (see § 1.33(a))."

Correspondence for this application should be addressed as follows:

Name: ERIC S. SPECTOR

Address: JONES, TULLAR & COOPER, P.C.  
P.O. Box 2266 Eads Station, Arlington, Virginia 22202

☐ Customer No.: \_\_\_\_\_

## 3. Application information.

NOTE: 37 C.F.R. § 1.76(b)(3): "Application information. This information includes the title of the invention, a suggested classification, by class and subclass, the Technology Center to which the subject matter of the invention is assigned, the total number of drawing sheets, a suggested drawing figure for publication (in a nonprovisional application), any docket number assigned to the application, the type of application (e.g., utility, plant, design, reissue, provisional), whether the application discloses any significant part of the subject matter of an application under a secrecy order pursuant to § 5.2 of this chapter (see § 5.2(c)), and, for plant applications, the Latin name of the genus and species of the plant claimed, as well as the variety denomination. The suggested classification and Technology Center information should be supplied for provisional applications whether or not claims are present. If claims are not present in a provisional application, the suggested classification and Technology Center should be based upon the disclosure."

Title of Invention:

Docket number assigned to this application: Duke File No. 1838

Suggested Classification: Class:

Subclass:

Technology Center to which subject matter is assigned: 1600

NOTE: "The suggested classification and Technology Center information should be supplied for provisional applications whether or not claims are present. If claims are not present in a provisional application, the suggested classification and Technology Center should be based upon the disclosure." 37 C.F.R. § 1.76(b)(3).

Total number of drawing sheets: None

Type of application:

☒ utility

☒ application is to be published

Suggested drawing figure for publication: \_\_\_\_\_

☐ application is not to be published

☐ plant

☐ Latin names of the genus \_\_\_\_\_  
species \_\_\_\_\_

of plant being claimed.

☐ design

☐ reissue

☐ provisional

Secrecy order under § 5.2:

This application

☐ does not disclose

☐ discloses a significant part of the

subject matter of an application which is under a secrecy order pursuant to § 5.2.

#### 4. Representative information

NOTE: 37 C.F.R. § 1.76(b)(4) states: "Representative information This information includes the registration number of each practitioner having a power of attorney or authorization of agent in the application (preferably by reference to a customer number). Providing this information in the application data sheet does not constitute a power of attorney or authorization of agent in the application (see § 1.34(b))." (Emphasis added).

The following have a power of attorney or authorization of agent in this application:

Name of attorney (agent): Eric S. Spector; Jennifer P. Yancy; Douglas R. Hanscom

Address: JONES, TULLAR & COOPER, P.C.

P.O. Box 2266 Eads Station, Arlington, Virginia 22202

Customer No.: \_\_\_\_\_

#### 5. Domestic Priority information

NOTE: "Domestic priority information. This information includes the application number, the filing date, the status (including patent number if available), and relationship of each application for which a benefit is claimed under 35 U.S.C. 119(e), 120, 121, or 365(c). Providing this information in the application data sheet constitutes the specific reference required by 35 U.S.C. 119(e) or 120, and § 1.78(a)(2) or § 1.78(a)(4), and need not otherwise be made part of the specification." 37 C.F.R. § 1.76(b)(5).

☐ Domestic priority for this application is claimed as follows:

☐ 35 U.S.C. § 119(e): Application No.: \_\_\_\_\_

Filed: \_\_\_\_\_

Status: \_\_\_\_\_

Relationship: \_\_\_\_\_

(Application Data Sheet [4-1.1]—page 4 of 6)

- ☐ 35 U.S.C. § 120: Application No.: \_\_\_\_\_  
 Filed: \_\_\_\_\_  
 Status: \_\_\_\_\_  
 Relationship: \_\_\_\_\_
- ☐ 35 U.S.C. § 121: Application No.: \_\_\_\_\_  
 Filed: \_\_\_\_\_  
 Status: \_\_\_\_\_  
 Relationship: \_\_\_\_\_
- ☐ 35 U.S.C. § 365(c): Application No.: \_\_\_\_\_  
 Filed: \_\_\_\_\_  
 Status: \_\_\_\_\_  
 Relationship: \_\_\_\_\_

## 6. Foreign priority information

**NOTE:** "Foreign priority information. This information includes the application number, country, and filing date of each foreign application for which priority is claimed, as well as any foreign application having a filing date before that of the application for which priority is claimed. Providing this information in the application data sheet constitutes the claim for priority as required by 35 U.S.C. 119(b) and § 1.55(a)." 37 C.F.R. § 1.76(b)(6).

**WARNING:** Section 1.55(a) provides (1) that in an original application filed under 35 U.S.C. 111(a) (other than a design application) the claim for priority must be presented during the pendency of the application, and within the later of four months from the actual filing date of the application or sixteen months from the filing date of the prior foreign application; (2) in an application that entered the national stage from an international application after compliance with 36 U.S.C. 371, the claim for priority must be made during the pendency of the application and within the time limit set forth in the PCT and the Regulations under the PCT.

- ☐ Foreign priority is claimed for this application as follows:

Country: \_\_\_\_\_  
 Application No.: \_\_\_\_\_  
 Filing date: \_\_\_\_\_  
 Status: \_\_\_\_\_

Foreign application having a filing date before that of the above application for which priority is claimed.

- ☐ None
- ☐ Country: \_\_\_\_\_  
 Application No.: \_\_\_\_\_  
 Filing date: \_\_\_\_\_  
 Status: \_\_\_\_\_

## 7. Assignee information

NOTE: 37 C.F.R. § 1.76(b) "Assignee information. This information includes the name (either person or juristic entity) and address of the assignee of the entire right, title, and interest in an application. Providing this information in the application data sheet does not substitute for compliance with any requirement of part 3 of this chapter to have an assignment recorded by the Office."

NOTE: 37 C.F.R. § 1.215(b): "(b) If applicant wants the patent application publication to include assignee information, the applicant must include the assignee information on the application transmittal sheet or the application data sheet (§ 1.76). Assignee information may not be included on the patent application publication unless this information is provided on the application transmittal sheet or application data sheet included with the application on filing. Providing this information on the application transmittal sheet or the application data sheet does not substitute for compliance with any requirement of part 3 of this chapter to have an assignment recorded by the Office."

The assignee(s) of this application is/are:

Name of assignee: DUKE UNIVERSITY

Address of assignee: Office of Science and Technology

230 North Building, Research Drive

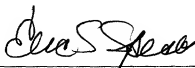
Durham, NC 27708-0083

Extent of interest of assignee in application: 100 percent

Reg. No. 22495

Tel. No. (703) 415-1500

Customer No.



Signature of Practitioner

Eric S. Spector

(type or print name of practitioner)

JONES, TULLAR & COOPER, P.C.

P.O. Box 2266 Eads Station

P.O. Address

Arlington, Virginia 22202

(Application Data Sheet [4-1.1]—page 6 of 6)